

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

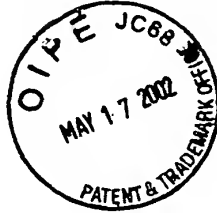
In re application of

Claes Bertil BLOM

Application No. 10/090,020

Filed: March 5, 2002

For: OPTICAL COUPLING



INFORMATION DISCLOSURE STATEMENT
(SUBMISSION AFTER FILING OF AN APPLICATION BUT
BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE)

BOX MISSING PARTS
Commissioner for Patents
P.O. Box 2327
Arlington, VA 22202

Sir:

Pursuant to 37 CFR §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

II. COPIES

- X Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

III. CONCISE EXPLANATION OF THE RELEVANCE
(check at least one box)

- a. X Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b. A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:

- c. ☐ The following additional information is provided for the Examiner's consideration.

IV. ☒ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(b):
(check one box)

- a. ☒ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 CFR § 1.97(b)(1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 CFR § 1.97(b)(2)). No fee or certification is required.
- c. ☐ before the mailing of a first Office action on the merits (37 CFR § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 CFR § 1.97(c) and see the certification under 37 CFR § 1.97(e) below, or, in no certification has been made, charge our deposit account a fee in the amount of \$180 as required by 37 CFR § 1.17(p).
- d. ☐ before the mailing of a first Office action after the filing of a request for continued examination under § 1.114 (37 CFR § 1.97(b)(4)). No fee or certification is required.

V. ☐ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(c):
(check one box)

before the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application.

- a. ☐ No certification; therefore, a fee in the amount of \$180 is required by 37 CFR § 1.17(p);
or
- b. ☐ See the certificate below. No fee is required.

VI. ☐ THIS IDS IS BEING FILED UNDER 37 CFR § 1.97(d):
(check one box)

after the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, and is filed on or before payment of the issue fee and is accompanied by:

- a. ☐ The statement specified in paragraph 1.97(e); and
- b. ☐ The fee set forth in § 1.17(p).

VII. STATEMENT UNDER 37 CFR § 1.97(e): (check only one box)

The undersigned hereby states that

- a. ☐ each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the IDS was

known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this statement.

VIII. PAYMENT OF FEES (check one box)

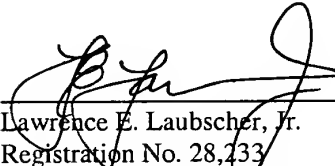
- ☐ A check in the amount of \$180 is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 50-1936 in the amount of \$180 for the above-indicated fee. This paper is filed in duplicate.
- ☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 50-1936.

Please charge any additional fees or credit any overpayment pursuant to 37 CFR § 1.16 or 1.17 to Deposit Account No. 50-1936.

Respectfully submitted,

May 13, 2002


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Enclosures: ☒ PTO-1449
☒ References
☐ Foreign Search Report
☐ Fee
☐ Other:

CERTIFICATE OF MAILING

I hereby certify that this **INFORMATION DISCLOSURE STATEMENT** and the documents noted as submitted herewith are being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX MISSING PARTS, Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202 on May 13, 2002.

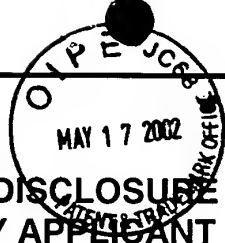
Geri Spicknall

Signature



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete If Known

Application Number	10/090,020
Filing Date	March 5, 2002
First Named Inventor	Claes Bertil BLOM et al.
Group Art Unit	
Examiner Name	
Attorney Docket No.	23032

Sheet 1

of 1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document No.	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figs. Appear
		5,515,467	Webb	05-07-1996	
		5,452,387	Chun et al.	09-19-1995	
		5,077,821	Makel et al.	12-31-1991	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T ⁴
		Office ²	Number ³				
		EPO	0 735 393 A2	Seikoh Giken	10-02-1996		
		EPO	0 589 711 A3	NEC	03-30-1994		
		PCT	WO 99/17141	Siemens	04-08-1999		
		PCT	WO 95/34836	Telefonaktiebolaget LM Ericsson	12-21-1995		
		PCT	WO 94/28448	Bandgap	12-08-1994		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁴

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ³For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴Applicant is to place a check mark here if English language translation is attached.

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INVESTOR IN PEOPLE

Application No: GB 0105968.2 Examiner: Chris Ross
 Claims searched: 1, 4 and appendant claims Date of search: 3 July 2001

Patents Act 1977 Search Report under Section 17

Databases searched:

UK Patent Office collections, including GB, EP, WO & US patent specifications, in:

UK Cl (Ed.S): G2J(JGED)

Int Cl (Ed.7): G02B

Other:

Documents considered to be relevant:

Category	Identity of document and relevant passage	Relevant to claims
Y	EP 0735393 A2 (SG) col 3 l 36 on	1, 4 at least
"	EP 0589711 A2 (NEC) col 10 l 14, part 5	"
"	WO 99/17141 A1 (SIEMENS) Figs 1, 2	"
X, Y	WO 95/34836 A2 (ERICSSON) part 23 Figs 3	"
Y	WO 94/28448 A1 (BTC) Figs 1, 2	"
X, Y	US 5515467 A (MOTOROLA) part 40, Fig 4, col 4 l 33 on	"
Y	US 5452387 A (") part 127	"
"	US 5077821 A (MAKEL) parts 15, 16, col 6 l 52	"

X Document indicating lack of novelty or inventive step
 Y Document indicating lack of inventive step if combined with one or more other documents of same category.
 & Member of the same patent family

A Document indicating technological background and/or state of the art.
 P Document published on or after the declared priority date but before the filing date of this invention.
 E Patent document published on or after, but with priority date earlier than, the filing date of this application.